



Doco 1  
#3

Please type a plus sign (+) inside this box → ☐

PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>TRANSMITTAL FORM</b>  (to be used for all correspondence after initial filing)	Application Number	09/960,605
	Filing Date	September 21, 2001
	First Named Inventor	Vivian Pecus et al.
	Group Art Unit	2661
	Examiner Name	To be assigned
Total Number of Pages in This Submission	Attorney Docket Number	4940/1D

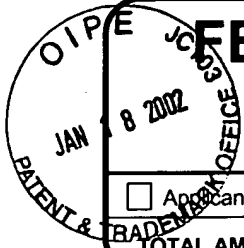
ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input checked="" type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Reply	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	Request for Corrected Filing Receipt
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	
<input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application	Remarks	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Frederick Yu Brown Raysman Millstein Felder & Steiner LLP
Signature	
Date	December 21, 2001

CERTIFICATE OF MAILING	
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: 12/21/2001	
Typed or printed name	Frederick Yu
Signature	
Date	12/21/2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.



# FEE TRANSMITTAL

## for FY 2002

Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27TOTAL AMOUNT OF PAYMENT (\$)  
870.00

## Complete if Known

Application Number	09/960,605
Filing Date	September 21, 2001
First Named Inventor	Vivian Pecus et al.
Examiner Name	To be assigned
Group Art Unit	2661
Attorney Docket No.	4940/1D

## METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None
☐ Deposit Account:Deposit Account Number  
Deposit Account Name

02-4270

Brown Raysman Millstein  
Felder & Steiner LLP

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☐ Credit any overpayments  
☐ Charge any additional fee(s) during the pendency of this application  
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
101	740	201	370	Utility filing fee	740.00
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

SUBTOTAL (1) (\$)  
740.00

## 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims		Extra Claims		Fee from below		Fee Paid	
Independent Claims	5	-20** =	0	X		=	
Multiple Dependent	2	-3** =	0	X		=	

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)  
0.00

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
105	130	205	65	Surcharge - late filing fee or oath	130.00
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)  
130.00

## SUBMITTED BY

Name (Print/Type)

Frederick Yu

Registration No.  
(Attorney/Agent)

45,251

## Complete (if applicable)

Telephone

(212) 895-2000

Signature

Date

12/21/2001

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

#4

Atty. Docket: 4940/1D

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant(s) : Vivian Pecus et al.  
Serial No. : 09/960,605  
Filing Date : September 21, 2001  
Title : LARGE EDGE NODE FOR SIMULTANEOUS VIDEO ON DEMAND AND LIVE STREAMING OF SATELLITE DELIVERED CONTENT

Examiner: Not yet assigned  
Art Unit: 2661

*(Circular stamp: OIPE JC103 JAN 18 2002 PATENT & TRADEMARK OFFICE)*

Assistant Commissioner for Patents  
Washington, D.C. 20231

**REQUEST FOR CORRECTED FILING RECEIPT**

Sir:

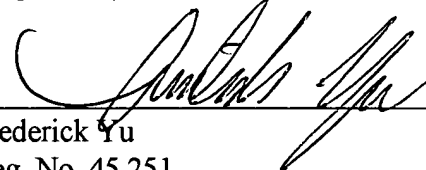
Please change the following information in the filing receipt in the Filing Date section.

Delete "09/20/2001" and insert in its place --09/21/2001--.

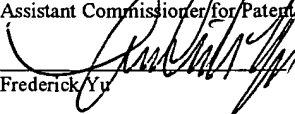
A copy of the filing receipt with the change noted thereon is enclosed. Issuance of a corrected filing receipt is respectfully requested.

Respectfully submitted,

Dated: December 21, 2001

  
\_\_\_\_\_  
Frederick Yu  
Reg. No. 45,251  
BROWN RAYSMAN MILLSTEIN FELDER  
& STEINER LLP  
120 West Forty-Fifth Street  
New York, New York 10036  
(212) 944-1515

I hereby certify that this paper is being deposited this date with the  
U.S. Postal Service as First Class Mail addressed to:  
Assistant Commissioner for Patents, Washington, D.C. 20231

  
\_\_\_\_\_  
Frederick Yu  
Date 12/21/01



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO.	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/960,605	<del>09/20/2001</del> 09/21/2001	2661	0.00	4940/1D	11	5	2

Frederick Yu  
Brown Raysman Millstein  
Felder & Steiner LLP  
900 Third Avenue  
New York, NY 10022



CONFIRMATION NO. 5667

## FILING RECEIPT



\*OC00000006972395\*

Date Mailed: 10/25/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

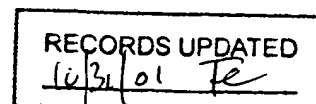
## Applicant(s)

Vivian Pecus, Falls Church, VA;  
Christopher Benden, Woodford, VA;  
David L. Bullock, Conyers, GA;  
Philip Lausier, Canton, GA;  
Mark Kalmbach, Round Rock, TX;  
Aaron D. Falk, Norwalk, CT;

## Domestic Priority data as claimed by applicant

THIS APPLN CLAIMS BENEFIT OF 60/275,779 03/13/2001  
AND CLAIMS BENEFIT OF 60/275,780 03/13/2001  
AND CLAIMS BENEFIT OF 60/275,781 03/13/2001  
AND CLAIMS BENEFIT OF 60/275,782 03/13/2001  
AND CLAIMS BENEFIT OF 60/275,783 03/13/2001  
AND CLAIMS BENEFIT OF 60/275,804 03/13/2001  
AND CLAIMS BENEFIT OF 60/275,813 03/13/2001  
AND CLAIMS BENEFIT OF 60/275,815 03/13/2001  
AND CLAIMS BENEFIT OF 60/275,816 03/13/2001  
AND CLAIMS BENEFIT OF 60/275,817 03/13/2001  
AND CLAIMS BENEFIT OF 60/275,825 03/13/2001  
AND CLAIMS BENEFIT OF 60/275,826 03/13/2001  
AND CLAIMS BENEFIT OF 60/275,827 03/13/2001  
AND CLAIMS BENEFIT OF 60/275,838 03/13/2001  
AND CLAIMS BENEFIT OF 60/275,795 03/13/2001

## Foreign Applications



If Required, Foreign Filing License Granted 10/25/2001

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

**Title**

Large edge node for simultaneous video on demand and live streaming of satellite delivered content

**Preliminary Class**

370

---

**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

Atty. Docket No. 4940/1D

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant(s) : Vivian Pecus et al.

Serial No. : 09/960,605 Examiner: Not yet assigned

Filing Date : September 21, 2001 Art Unit: 2661

Title : LARGE EDGE NODE FOR SIMULTANEOUS VIDEO ON  
DEMAND AND LIVE STREAMING OF SATELLITE  
DELIVERED CONTENT

**BOX MISSING PARTS**

Assistant Commissioner for Patents  
Washington, D.C. 20231

**RESPONSE TO "NOTICE TO FILE MISSING  
PARTS OF APPLICATION--FILING DATE GRANTED"**

Sir:

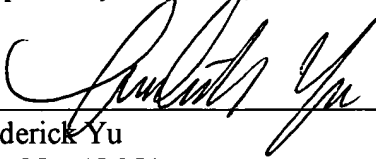
We acknowledge receipt of the Notice To File Missing Parts of Application--Filing Dated  
Granted ("the Notice") dated October 25, 2001. Enclosed are:

- Transmittal Sheet
- Fee Transmittal
- a copy of the Notice
- executed Declaration
- check for \$870 (covering filing fee of \$740, and surcharge fee of \$130)
- Request for Corrected Filing Receipt w/copy of Filing Receipt w/changes noted in red

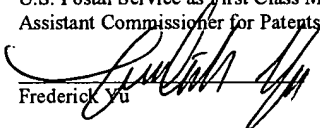
The Commissioner is hereby authorized to charge any additional fees which may be required or credit any overpayment to our Deposit Account No. 02-4270.

Respectfully submitted,

Dated: December 21, 2001

  
\_\_\_\_\_  
Frederick Yu  
Reg. No. 45,251  
BROWN RAYSMAN MILLSTEIN FELDER  
& STEINER LLP  
120 West Forty-Fifth Street  
New York, New York 10036  
(212) 944-1515

I hereby certify that this paper is being deposited this date with the  
U.S. Postal Service as First Class Mail addressed to:  
Assistant Commissioner for Patents, Washington, D.C. 20231

  
Frederick Yu

Date

12/21/01

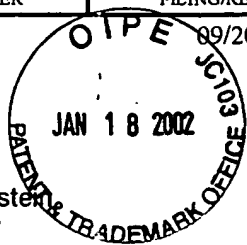
#3



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/960,605	09/20/2001	Vivian Pecus	4940/1D



Frederick Yu  
Brown Raysman Millster  
Felder & Steiner LLP  
900 Third Avenue  
New York, NY 10022

CONFIRMATION NO. 5667

## FORMALITIES LETTER



\*OC000000006972396\*

Date Mailed: 10/25/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).*
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 840.

01/25/2002 MAILED1 00000032 09960605

01 FC:101  
02 FC:105

740.00 OP

130.00 OP

A copy of this notice **MUST** be returned with the reply.

*Tham*  
Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE